**Tax and eTax Change Request**

STANDARDIZE FILE NAMING CONVENTION

In order for our data center to process the annual tax files, we would request that our clients follow strict file naming conventions also to have all our clients PGP or password encrypt their data files. For each IRS or Print Image tax data file format, the following fields are required of for the filenaming convention:

{CID} – InfoIMAGE Client ID

{TAX\_FORM} – Tax Form ID is to be included for each individual tax form data file (e.g. 5498, 1099i, etc..)

{MMDDYY} – Two digit month, two digit day and two digit year. This date can be the system time of when the file is was created or prepared.

{HHMM} – Two digit hours and two digit minute military time. This time can be the system time of when the file is was created or prepared.

{PROD|TEST} – Indicates whether this is a test file for production file. For a production data file, use the word “PROD” and “TEST” for test data files. For test files, we recommend placing the test files in the test folder instead of the parent directory in the FTP site. If you do not see a test folder, just create one and place your test file inside them.

**NOTE**: File names are not case sensitive.

The following are three possible scenarios plus suggested file naming conventions:

**INDIVIDUAL TAX DATA FILES**

These are individual files containing data for one type of tax form.

*File Naming Convention:*

{CID}\_{TAX\_FORM}\_{MMDDYY}\_{HHMM}\_{PROD\_TEST}.pgp

*e.g.:*

ADCU\_1099i\_121010\_1523\_TEST.pgp

ADCU\_1099i\_011511\_0925\_PROD.pgp

Some clients may choose to have us provide select samples or suppress select tax files per individual tax forms. In order to correctly pair up these requirements along with the correct tax form, we would like our clients to follow these following file naming convention. The data and timestamp must match with the tax data files listed above.

*File Naming Convention for Sample Accounts:*

{CID}\_{TAX\_FORM}\_{MMDDYY}\_{HHMM}\_SAMPLE\_{PROD\_TEST}.pgp

*e.g.:*

ADCU\_1099i\_121010\_1523\_SAMPLE\_TEST.pgp

ADCU\_1099i\_011511\_0925\_SAMPLE\_PROD.pgp

*File Naming Convention for Suppressing Tax Forms:*

{CID}\_{TAX\_FORM}\_{MMDDYY}\_{HHMM}\_SUPPRESS\_{PROD\_TEST}.pgp

*e.g.:*

ADCU\_1099i\_121010\_1523\_SUPPRESS\_TEST.pgp

ADCU\_1099i\_011511\_0925\_SUPPRESS\_PROD.pgp

Note: If client has eTaxes, the forms will not be included in the eTax archival process.

**ZIPPED TAX FILES**

This is a zip file contain all the individual tax data files (see above). If you choose not to pgp the individual tax data files, then you need to pgp encrypt the zip file.

*File Naming Convention:*

{CID}\_TAX\_{ MMDDYY}\_{HHMM}\_{PROD\_TEST}.zip.pgp

*e.g.:*

BBBB\_TAX\_121510\_0823\_TEST.zip.pgp

BBBB\_TAX\_012011\_1539\_PROD.zip.pgp

Some clients may choose to have us provide select samples or suppress select tax files per individual tax forms. In order to correctly pair up these requirements along with the correct tax form, we would like our clients to follow these following file naming convention. The data and timestamp must match with the tax data files listed above. Please see above for the file naming convention. If you choose not to pgp encrypt the individual tax data files, then you should not pgp encrypt the sample and/or suppression files.

**CONCATENATED/COMBINED TAX FILE**

Some systems may generate a single tax data file containing multiple tax forms.

*File Naming Convention:*

{CID}\_TAX\_{MMDDYY}\_{HHMM}\_{PROD\_TEST}.pgp

*e.g.:*

EWBB\_TAX\_121110\_1209\_TEST.pgp

EWBB\_TAX\_011011\_0529\_PROD.pgp

IS DEPARMTENT CHANGES – CHECK SUM

For each individual tax files processed, the system will perform a checksum calculation to ensure that no duplicate data files are re-used. For Concatenated/Combined type of tax data files, the program will run a checksum on concatenated/combined tax file as well as the parsed out individual tax form. This will detect if the customer accidentally combined a tax file that we processed before. Should this case occur, IS will prompt an error message to indicate which tax form is bad as well as which concatenated/combined file was used.

AS DEPARTMENT – TAX MANAGEMENT REPORT PROCESS IMPROVEMENT

Even though we are making changes to the Tax statement processing, it still does not systematically identify which tax data files are bad. Often times, clients or Account Services does not inform Data Processing which files are bad, therefore Data Process may still archive old tax data files. Data Processing has requested AS Department to better manage the reporting of which files are approved and which files are bad.

*Action Item:*

DP and AS are to schedule a meeting to discuss how to better manage the Tax data files approval process.

PRINT IMAGE FILE CHANGES – LAST MINUTE FROM CLIENTS

For clients who provide us Print Image data file format instead of standard IRS, there are occasions where our clients provide us a differently formatted Print Image file at the time of production. This is a discrepancy on what was tested and requires IS department to do last minute programming.

*Action Item:*

* Identify which clients provide Print Image Format
* Of these clients who have Print Image Format, AS needs to remind clients of the risks that we take in last minute programming. It requires our clients participation to provide additional detailed auditing in addition to our programming team.
* IS needs to better schedule/organize programming resources specifically for these Print Image clients so that the individual programmer is not overloaded with several Print Image Tax clients in one given day.

AS DEPARTMENT –FTP SCANNER

We would request each client to be setup in the FTP scanner so that our clients are communicated timely if there was a file naming convention error. However, to set this up, all their applications needs to be setup on the FTP scanner.